

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5552171
<b>Application Number:</b>	10711889
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5888
<b>Title of Invention:</b>	METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES
<b>First Named Inventor/Applicant Name:</b>	Ross L. Stevens
<b>Customer Number:</b>	69603
<b>Filer:</b>	Steven Phillips/Faye Wigfall
<b>Filer Authorized By:</b>	Steven Phillips
<b>Attorney Docket Number:</b>	014033-000037
<b>Receipt Date:</b>	19-JUN-2009
<b>Filing Date:</b>	12-OCT-2004
<b>Time Stamp:</b>	15:06:47
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
------------------------	----

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Filed (5B/08)	037_IDS_061809.pdf	607899 942f179a277798e5733ba86e2bba70b1d4f2c135	no	4

### Warnings:

### Information:

A U.S. Patent Number Citation or a U.S. Publication Number Citation is required in the Information Disclosure Statement (IDS) form for autoloading of data into USPTO systems. You may remove the form to add the required data in order to correct the Informational Message if you are citing U.S. References. If you chose not to include U.S. References, the image of the form will be processed and be made available within the Image File Wrapper (IFW) system. However, no data will be extracted from this form. Any additional data such as Foreign Patent Documents or Non Patent Literature will be manually reviewed and keyed into USPTO systems.

2	NPL Documents	037_SuppSrchrpt_061809.pdf	172556	no	4
			10f5b6f1c801d4c995ca1a8776e1d1d78		

**Warnings:**

**Information:**

**Total Files Size (in bytes):**

780455

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.